APPENDIX G-1 Child Care Section 2011 APU

County: Dutchess

I. Administration (Required Section)

Describe how your district is organized to administer the child care program including any functions that are subcontracted to an outside agency.

1. Identify the unit that has primary responsibility for the administration of child care for:

Public Assistance Families: Dutchess County Department of Social Services Day Care Unit

Transitioning Families: Dutchess County Department of Social Services Day Care Unit

Income Eligible Families: Dutchess County Department of Social Services Day Care Unit

Title XX: Dutchess County Department of Social Services Day Care Unit

2. Indicate the use of New York State Child Care Block Grant (NYSCCBG) Funds.

FFY 06-07 Rollover Funds (this amount is available from the NYSCCBG) of	\$ 1,110,129
FFY 07-08 Rollover Funds	\$ 0
Estimate of Flexible Funds for Families (FFFS) for child care subsides	\$ 0
NYSCCBG Allocation for SFY 08-09	\$4,653,621
Estimate of Local Share	\$500,000

Total Estimated NYSCCBG Amount: \$5,153,621

A. Subsidy \$4,615,065

B. Other program costs (excluding subsidy) \$0

C. Administrative costs \$ 538,556

3.	Does your district have a contract of the following functions?	or formal agreement with another o	rganization to perform any
	Function: Eligibility screening	Organization:	Amount of Contract:
	Assistance in locating care		
	Child Care Information Systems		
	Determining if legally exempt providers meet State approved additional local standards (if applicable)		
	Other registration, training, fingerprinting		

II. Other Eligible Families if Funds are Available (Required Section)

Listed below are optional categories of eligible families that your district can include as part of its ICP/CSP. Select any categories your district wants to serve and describe any limitations associated with the category.

	Option	
Optional Categories	_	Limitations
1. Public Assistance (PA) families	Yes	Families with income up to 125% of SIS
participating in an approved activity in	☐ No	when caretaker is participating in an
addition to their required work activity.		approved educational or vocational activity approved by the DC
		activity approved by the DC Employment Unit.
2. PA families or families with income up		Employment omt.
to 200% of the State Income Standard (SIS)		
when the caretaker is:		
a) participating in an approved substance	Yes	a) Public Assistance recipients only
abuse treatment program	☐ No	
b) homeless	Yes	b)
-,	⊠ No	-,
c) a victim of domestic violence	Yes	c)
	⊠ No	
d) in an emergency situation of short	Yes	d)
duration	No	u)
3. Families with an open child protective	Yes Yes	
services case when child care is needed to	☐ No	
protect the child.		
4. Families with income up to 200% of the SIS when child care services are needed		
because the child's caretaker:		
because the child's caretaker.		
a) is physically or mentally incapacitated	Yes	a)
	⊠ No	
		b)
h) has family duties array from home	□ Vaa	
b) has family duties away from home	∐ Yes ⊠ No	

5. Families with income up to 200% of the SIS when child care services are needed for the child's caretaker to actively seek employment for a period up to 6 months.	☐ Yes ⊠ No	
6. PA families where a sanctioned parent is participating in unsubsidized employment, earning wages at a level equal to or greater than the minimum amount under law.	⊠ Yes □ No	If working towards lifting the sanction
7. Families with income up to 200% of the SIS when child care services are needed for the child's caretaker to participate in:		
a) a public or private educational facility providing a standard high school curriculum offered by or approved by the local school district	⊠ Yes □ No	TA recipients only with approval of Employment worker.
b) an education program that prepares an individual to obtain a NYS High School equivalency diploma	☐ Yes ⊠ No	
c) a program providing basic remedial education in the areas of reading, writing, mathematics, and oral communications for individuals functioning below the ninth month of the eighth grade level	☐ Yes ☑ No	
d) a program providing literacy training designed to help individuals improve their ability to read and write;	Yes No	
e) English as a second language (ESL) instructional program designed to develop skills in listening, speaking, reading and writing the English language for individuals whose primary language is other than English	☐ Yes ⊠ No	
f) a two year full-time degree granting program at a community college, a two year college, or an undergraduate college with a specific vocational goal leading to an associate degree or certificate of completion	⊠ Yes □ No	TA recipients only with approval of Employment worker.
g) a training program, which has a specific occupational goal and is conducted by an institution licensed or approved by the State Education Department other than a college or university	⊠ Yes □ No	TA recipients only with approval of Employment worker.
h) a prevocational skill training program such as, a basic education and literacy training program	Yes No	If approved by the Employment Worker and the program does not exceed 6 months

	i) a demonstration project designed for vocational training or other project approved by the Department of Labor.	Yes No	
	The parent/caretaker must complete the selected programs listed under number		
	seven within 30 consecutive calendar		
	months. The parent/caretaker cannot		
	enroll in more than one program.		
	8. PA recipients and low income families with incomes up to 200% of the State	Yes No	TA recipients and low income families with income up to 125% of the SIS
	Income Standard who are satisfactorily		1
	participating in a two-year program other		
	than one with a specific vocational		
	sequence (leading to an associates degree or		
	certificate of completion and that is		
	reasonably expected to lead to an		
	improvement in the parent/caretaker's		
	earning capacity) as long as the parent(s) or		
	caretaker is also working at least 17 ½ hours per week. The parent/caretaker must		
	demonstrate his or her ability to		
	successfully complete the course of study.		
İ	9. PA recipients and low income families	X Yes	Only TA recipients with income up to
	with incomes up to 200% of the State	☐ No	125% of the SIS
	Income Standard who are satisfactorily		
	participating in a two-year college or		
	university program (other than one with a		
	specific vocational sequence) leading to an		
	associates degree or a certificate of		
	completion that is reasonably expected to		
	lead to an improvement in the		
	parent/caretaker's earning capacity as long as the parent(s) or caretaker is also working		
	at least 17 ½ hours per week. The		
	parent/caretaker must demonstrate his or		
	her ability to successfully complete the		
	course of study.		

10. PA recipients and low income families	Yes Yes	Only TA recipients with income up to
with incomes up to 200% of the State	☐ No	125% of the SIS.
Income Standard who are satisfactorily		
participating in a four-year college or		
university program (leading to a bachelor		
degree and that is reasonably expected to		
lead to an improvement in the		
parent/caretaker's earning capacity) as long		
as the parent(s) or caretaker is also working		
at least 17 ½ hours per week. The		
parent/caretaker must demonstrate his or		
her ability to successfully complete the		
course of study.		
11. Families with income up to 200% of the	Yes	
State Income Standard when child care	⊠ No	
services are needed for the child's caretaker		
to participate in a program to train workers		
in a employment field that currently is or is		
likely to be in demand in the near future, if		
the caretaker documents that he or she is a		
dislocated worker and is currently		
registered in such a program, provided that		
child care services are only used for the		
portion of the day the caretaker is able to		
document is directly related to the caretaker		
engaging in such a program.		

III. Reasonable Distance, Very Low Income, Family Share, Case Closings and Openings, and Fraud and Abuse Control Activities_ (Required Section)

Reasonable Distance

Your district is required to define reasonable distance based on community standards for determining accessible child care.

The following defines "reasonable distance":

For the purpose of determining whether child care is accessible to a TANF recipient who is a caretaker relative of a child under the age of 13 Dutchess County defines a reasonable distance as **one-way travel time up to one and one half hours from home to a work activity with a stop at a child care provider.**

Describe any steps/consultations made to arrive at your definition:

The Department determined that a distance of two miles from a bus route was appropriate.

Very Low Income

Very Low Income is defined by each district and is used in determining priorities for child care benefits.

Very Low Income is defined as **100%** of the State Income Standard.

Family Share

Family share is the weekly amount paid towards the costs of the child care services by the child's parent or caretaker. In establishing family share, your district must select a percentage from 10 percent to 35 percent to use in calculating the family share. The family share of child care is calculated by applying the family share percentage against the amount of the family's gross income that is in excess of the State Income Standard divided by 52.

Family Share Percentage selected by our district 30%.

Case Closings (select one)

Our district has established local priorities beyond the federally-mandated priorities. If all NYSCCBG funds are committed, our district will discontinue funding to those families that have lower priorities in order to serve families with higher priorities. Described below is how our district will select cases to be closed in the event that there are insufficient or no funds available.

Our district has not established priorities beyond the federally-mandated priorities. If all NYSCCBG funds are committed, case closings for families which are not eligible under a child care guarantee and are not a federally-mandated priority must be based on the length of time in receipt of services. The length of time used to close cases may be based either on the shortest or longest time receiving child care services but must be consistent for all families. Our district has chosen to close cases based on

\boxtimes	shortest time receiving child care	services
	longest time receiving child care	services

Case Openings

Described below is how our district will select cases to be opened in the event that there are insufficient funds available.

In the event that there are limited funds available the County will continue to accept applications for day care.

As funds become available, the County will open case in the following order:

- 1. Families with income between 100% AND 125% of the SIS.
- 2. Families with a child with special needs
- 3. Families with income between 126% and 150% of the SIS.
- 4. Families with income between 151% and 175% of the SIS.
- 5. Families with income between 176% and 200% of the SIS.

All families with an open Child Protective Services case in need of care to protect a child will be opened whether or not we have child care block grant funds.

Fraud and Abuse Control Activities

The district must identify below the criteria it will use to determine which child care subsidy applications suggest a higher than acceptable risk for fraudulent or erroneous child care subsidy payment and procedures for referring such applications to the district's front end detection system.

DUTCHESS COUNTY FRONT END DETECTION SYSTEM PLAN FOR OPERATIONS FOR NYSCCBG CHILD CARE CASES

Prepared by:

Donna Daughton, Supervisor of Special Investigations, (845) 486-3283

FEDS Contact Person:

Donna Daughton, Supervisor of Special Investigations, (845) 486-3283 60 Market Street, Poughkeepsie, New York 12601

- 1. The following criteria will prompt a Child Care FEDS Referral:
 - Working off the books
 - Self-employed without adequate business records
 - P. O. Box used as a mailing address without cause
 - Client unsure of own address
 - Documentation to verify identity is suspect
 - Documentation or information provided is inconsistent with application
 - Previous case closing or overpayment resulting from an investigation
 - Application inconsistent with prior case
 - Children under six with no birth certificate
 - Provider lives in same household as parent
 - No absent parent information or information inconsistent with application

2. Childcare Unit Process and Procedure:

The FEDs referral will be reviewed for each Childcare eligibility interview. When one or more of the circumstances listed above occurs, the referral form and the appointment notice are completed by the Childcare worker. The referral is given to the Childcare supervisor with the case record. The supervisor reviews the referral and, if appropriate, sends the FEDS referral to the Special Investigations Unit (SIU) within 24 hours of the date of application.

The district must describe below it sampling methodology used to determine which cases it will seek verification of an applicant or recipient's continued need for child care including, as applicable, verification of participation in employment, education or other required activities.

For all low income and transitional child care cases, a recertification application is completed yearly (copy attached). An Employment Questionnaire (copy attached) is also completed yearly. This results in a contact every six months. Verification of income is required at each contact. A new enrollment form is only required at recertification.

For child care for TA individuals in training, participating in WEP, attending approved drug/alcohol treatment, or employed, a new enrollment form is required yearly. All informal providers must submit forms to the child care supervisor who reviews them and forwards them to the child care council for approval. Payment is made only if provider is approved and verification of attendance/participation is received. Payment is made for actual hours of participation plus reasonable travel time.

The district must describe below it sampling methodology used to determine which child care providers of subsidized child care services they will review for the purpose of comparing the child care providers attendance forms for children receiving subsidized child care services and any child and adult care food program inspection forms to verify that child care was actually provided on the days listed on the attendance forms.

Dutchess currently has approximately 47 providers who are not day care centers in the Child Adult Care Food Program. The Child Care Council of Dutchess (CCCD) forwards the attendance forms from each inspection to the Department where annually 40 of the 47 providers are selected for a point in time review. The Supervisor of the Day Care Unit contacts the CCCD member who is in charge of the site visits on a monthly basis and requests a list of 3-4 providers that had site visits done that month along with the names of the children present at the time of the visit. He will then compare the information to the attendance forms for that provider to verify that DSS was billed correctly. Any discrepancies will be referred to the Special Investigations Unit for further action.

IV. <u>District Options</u> (Required Section)

Districts have certain flexibility to administer the child care subsidy program to meet local needs. Check which options that your district wishes to include in your ICP/CSP. Complete attachments for any area(s) checked. 1. \square Our district has identified local priorities in addition to the federal priorities (complete Appendix G-5). Our district has chosen to establish funding set-asides for NYSCCBG (complete 2. Appendix G-6). 3. Our district is using Title XX funds for the provision of child care services for lowincome eligible families (complete Appendix G-7). 4. \square Our district has chosen to establish additional local standards for child care providers (complete Appendix G-8). 5. X Our district has chosen to make payments to child care providers for absences (complete Appendix G-9). 6. Our district has chosen to make payments to child care providers for program closures (complete Appendix G-10).* 7. Our district has chosen to pay for transportation to and from a child care provider (complete Appendix G-11). 8. Our district has chosen to pay up to a 15% higher than the applicable market rates for regulated child care services that have been accredited by a nationally recognized child care organization (complete Appendix G-11). 9. Our district has chosen to pay up to 15% higher than the applicable market rates for non-traditional hours (complete Appendix G-11). 10. Our district has chosen to pay up to 75% of the enhanced market rate for legally-exempt family and in-home child care providers who have completed 10 hours of training and the training has been verified by the legally-exempt care giver enrollment agency (complete Appendix G-11). Our district has chosen to pay for child care services while a caretaker who works the second or third shift sleeps (complete Appendix G-11).

Our district has chosen to make payments to child care providers who provide child

care services, which exceed 24 consecutive hours (complete Appendix G-12).*

12. \square

APPENDIX G-4 (continued)

Unit (complete Appendix G-12).*
14. Our district is seeking a waiver from one or more regulatory provisions. Such waivers are limited to those regulatory standards that are not specifically included in law (complete Appendix G-12).*
15. Our district has chosen to pay for breaks in activity for low-income families (non public assistance families, complete Appendix G-12).
16. Our district has chosen to use local equivalent forms such as, but not limited to, child care application, client notification and/or legally exempt enrollment forms (attach copies of the local equivalent forms your district uses).
Any previous approvals for local equivalent forms will not be carried forward into this
ICP/CSP. Therefore, any local equivalent forms a district wishes to establish or renew must be

included in this plan and will be subject to review and approval by OCFS.

APPENDIX G-5 Priority Populations ADDITIONAL LOCAL PRIORITIES

In addition to the federal priorities of very low income families and families with children who have special needs, the following additional local priorities have been selected:

Category:	Rank:
Description:	
Category:	Rank:
Description:	
Category:	Rank:
Description:	
Category:	Rank:
Description:	
Category:	Rank:
Description:	

Funding Set- Asides

Total NYSCCBG Block Grant Amount Including Local Funds

Category:	\$	
Category:	\$	
Total set asides	\$	
Describe for each category the rationale behind s estimated number of children, etc.). Category:	pecific set-aside amounts out of the NYSCCBG (e	e.g
Category:		

APPENDIX G-6 (continued)

The follow	ving amounts are set aside for spec	ific priorities out of the Title XX bloo	ck grant:
	Category:	\$	
	Category:	\$	
	Category:	\$	
	Total set asides (Title XX)	\$	
grant (e.g. Category: Category:	For each category the rationale belt estimated number of children, etc.	nind specific set aside amounts out of	of the Title XX block
Category:			
Category:			

Title XX Child Care

Projected total Title XX expenditures for plan duration: \$ Financial eligibility limits (percentage of State Income Standard) your district will apply based on family size. Maximum reimbursable limits are 275% for a family of 1 or 2, 255% for a family of 3, and 225% for a family of 4 or more. (4) % Family Size: (2) (3) % Programmatic Eligibility for Income Eligible Families. (Check all that apply.) Title XX: employment education/training seeking employment illness/incapacity homelessness domestic violence emergency situation of short duration participating in an approved substance abuse treatment program Does your district apply any limitations to the programmatic eligibility criteria? ☐ YES ☐ NO (See Technical Assistance #1 for information on limiting eligibility.) If yes, describe eligibility criteria: Does your district prioritize certain eligible families for Title XX funding? ☐ YES ☐ NO If yes, describe which families will receive priority: Does your district use Title XX funds for child care for open child protective services cases? ☐ YES ☐ NO Does your district use Title XX funds for child care for open child preventive services cases? ☐ YES ☐ NO

Additional Local Standards for Child Care Providers

State law allows districts to propose local standards in addition to the State standards for providers who will receive child care subsidies.

1. Described below are the additional standards that will be required of providers as well as which providers must comply with each additional standard.
2. Described below are the methods and resources that will be utilized to determine that these additional standards are being met.
3. Described below is the justification for each additional standard.

APPENDIX G-9 PAYMENT TO CHILD CARE PROVIDERS FOR ABSENCES

The following providers are eligible for payment for absences: (Check any that are eligible) \boxtimes Day Care Center \boxtimes School Age Child Care \boxtimes Group Family Day Care \boxtimes Family Day Care \boxtimes Legally Exempt Group Our district will only pay for absences to providers with which the district has a contract or letter of intent*. Yes No \boxtimes 3 months 6 months Base period selected (check one) Number of absences allowed during base period:

Period	Routine Limits (# of days)	Extenuating Circumstances (# of days)	Total Number of Absences Allowed (# of days)
In a month	12	3	15
Base period	12	8	20

List reasons for absences for which the district will allow payment:

Illness of the adult or child or a temporary crisis

List any limitations on the above providers' eligibility for payment for absences:

Payment will only be made when the provider charges all customers the same rates with absences

Note: Legally exempt family child care and in-home child care providers are **not** eligible to receive payment for absences.

PAYMENT TO CHILD CARE PROVIDERS FOR PROGRAM CLOSURES*

The following providers are eligible for payment	for program closures:		
Day Care Center	Legally Exempt Group		
Group Family Day Care	School Age Child Care		
Family Day Care			
Our district will only pay for program closures to letter of intent. Yes No	providers with which the district has a contract or		
Enter the number of days allowed for program cl days). Not applicable – we do not pay for closu	osures (maximum allowable program closures is five ares.		
Note: Legally exempt family child care and in-home child car providers are not allowed to be reimbursed for program closures.			

APPENDIX G-11 TRANSPORTATION, DIFFERENTIAL PAYMENT RATES, ENHANCED MARKET RATES FOR LEGALLY EXMEPT, SLEEP

Transportation

Describe below under what circumstances and limitations if any your district will use to reimburse for transportation, what type of transportation will be reimbursed (public vs. private), and how much your district will pay (per mile or trip). Note if paying for transportation, Appendix F will need to reflect this choice.

<u>Differential Payment Rates</u>
Indicate below the percentage above the market rate your district has chosen.
Accredited Programs may receive a differential payment up to percent above market rate.
Care during non-traditional hours may be paid up to percent above market rate.
Limitations to the above differentials are as follows:
Payments may not exceed 15 percent above market rate. However, if your district wishes to establish a payment rate that is in excess of 15 percent above the applicable market rate you must describe below why the 15 percent maximum is insufficient to provide access within the district to accredited programs and/or care provided during non-traditional hours.
Enhanced Market Rate For Legally-Exempt Family and In-Home Child Care Providers
If a district elects to establish a payment rate that is in excess of the enhanced market rate for legally-exempt family and in-home child care providers who have annually completed 10 or more hours of training and the training has been verified by the legally-exempt care giver enrollment agency. The district must state the percentage above the market rate it proposes to use.
Our district is requesting to increase the legally-exempt enhanced market rate up topercent of the applicable registered family day care market rate. Market rate may not exceed 75 percent (75%) of the child care market rates established for registered family day care.
A district that selects the option to increase the legally-exempt enhanced market rate must select one of the options listed below for implementation of the legally-exempt enhanced market rate:
of all legally-exempt family and in-home child care providers that have been approved by the applicable legally-exempt caregiver enrollment agency; or
for those legally-exempt family and in-home child care providers who were receiving the enhanced rate on the date of the regulations, but only for the remainder of their current one-year enrollment period; or

for those legally-exempt family and in-home child care providers who were receiving the enhanced
rate on the date of the regulations, for the remainder of the time they remain enrolled and continue to
meet the ten-hour annual training requirement.

Sleep

The following describes the standards that will be used in evaluating whether or not to pay for child care services while a parent or caretaker that works a second or third shift sleeps and any limitations pertaining to payment:

The district will pay for child care while a parent or caretaker realtive works a second or third shift when the parent or caretaker relative requests it and the Day Care Unit Director and the Deputy Commissioner determine that it is necessary to allow him/her to get a minimum of 6 hours sleep per day.

Indicate the number of hours allowed by your district (maximum number of hours allowed is eight).

8 Hours

Child Care Exceeding 24 Hours, Child Care Services Unit, Waivers, Breaks in Activities Child Care Exceeding 24 Hours*

Child Care Exceeding 24 Hours

Child care services may exceed 24 consecutive hours when such services are provided on a short-term emergency basis or in other cases where the caretaker's approved activity necessitates care for 24 hours on a limited basis.

Not determined to be a need in Dutchess County

Describe any limitations for payment of child care services that exceed 24 consecutive hours.

Child Care Services Unit

The Child Care Service Unit is the basis upon which a district will determine which household and/or family should be counted in determining family size and countable family income.
Our district will include the following in the Child Care Services Unit (check which ones apply).
☐ 18 year old ☐ 19 year old ☐ 20 year old Our district will include only the following in the Child Care Services Unit when it will benefit the family (check which ones apply).
☐ 18 year old ☐ 19 year old ☐ 20 year old Describe the criteria your district will use to determine whether or not an 18, 19 or 20 year old is included in the Child Care Services Unit.

Waivers

Districts have the authority to request a waiver of any regulatory provision that is non-statutory. Describe and justify why your district is requesting a waiver.

Breaks in Activities

Districts may pay for child care services for low income families during breaks in activities for a
period not to exceed two weeks or for a period not to exceed one month where child care arrangements
would otherwise be lost and the subsequent activity is expected to begin within that period (check
one).
two weeks four weeks
Districts may provide child care services while the caretaker is waiting to enter an approved activity or
employment or on a break between approved activities. The following low income families are
eligible for child care services during a break in activities (check any that are eligible):
entering an activity waiting to begin employment break between activities

APPENDIX H

2011 Annual Plan Update Checklist ADMINISTRATIVE COMPONENT – LOCAL DEPARTMENT OF SOCIAL SERVICES

Dutchess County

All Local Department of Social Services are required to complete this checklist. For each item below, please indicate by marking "YES" or "NO" whether there are any changes to report. For each item that is answered "Yes" or where a "NO" response is not an option, a written response is required clearly indicating what has changed and reason for the change. Reponses should be attached on separate page and added at the end of this appendix.

YES	<u>NO</u>	I D' ' D
\square		I. Financing Process a. General Information
	\square	b. Purchase of Services
H	X	c. Performance or Outcome Based Provisions
		II. Monitoring Procedures
		III. Appendices
	\boxtimes	a. Appendix A – Legal Assurances
		b. Appendix B – Summary of Memorandum of Understanding with the District Attorney's Office for Child Protective Services (Check "No" if the
		memorandum is current, designates suitable locations for abandoned infants
		and there are no changes since the last CFSP or APU.)
	\bowtie	c. Appendix C – Estimate of Persons to be Served
		d. Appendix D – Non-Residential Services to Victims of Domestic Violence
		e. Appendix E – Chafee Foster Care Independence Program Use of Allocations f. Appendix F – Department of Social Services – Program Information Matrix
	Ш	
\square		g. Appendix G – Child Care 1. Appendix G-1 – Administration
	Ħ	2. Appendix G-1 - Administration 2. Appendix G-2 – Other Eligible Families if Funds are Available
Ħ	Ħ	3. Appendix G-3 – Reasonable Distance, Very Low Income, Family Share,
ш		Case Closings and Case Openings, and Fraud and Abuse Control Activities
П	\boxtimes	4. Appendix G-4 – Districts Options
П	Ħ	5. Appendix G-5 – Priority Populations
	$\overline{\square}$	6. Appendix G-6 – Funding Set-Asides
	$\overline{\boxtimes}$	7. Appendix G-7 – Title XX Child Care
		8. Appendix G-8 – Additional Local Standards for Child Care Providers
	\boxtimes	9. Appendix G-9 – Payment to Child Care Providers for Absences
	\boxtimes	10. Appendix G-10 – Payment for Child Care Providers for Program Closures
	\boxtimes	11. Appendix G-11 – Transportation, Differential Payment Rates, and Sleep
	\boxtimes	12. Appendix G-12 – Child Care Exceeding 24 Hours, Child Care Service
		Unit, Waivers, Break in Activities